

FORM PTO-1390
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

205502-9004

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/890604

INTERNATIONAL APPLICATION NO.
PCT/CA00/00074INTERNATIONAL FILING DATE
January 31, 2000PRIORITY DATE CLAIMED
February 1, 1999

TITLE OF INVENTION

Modification of Lignin Composition of Gymnosperms

APPLICANT(S) FOR DO/EO/US

ELLIS, David Dunham; CHAPPLE, Clinton Charles Spencer; GILBERT, Margarita

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
 2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
 3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
 4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
 5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
 6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
 7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
 8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
 9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
 10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- **Items 11 to 20 below concern document(s) or information included:**
11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
 12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
 13. ☒ A **FIRST** preliminary amendment.
 14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
 15. ☐ A substitute specification.
 16. ☐ A change of power of attorney and/or address letter.
 17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
 18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
 19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
 20. ☒ Other items or information: **See attached sheet.**

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PCT/PTO 01 AUG 2001

21. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO \$1000.00

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO \$860.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO
but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00

International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =**CALCULATIONS PTO USE ONLY**

\$ 860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$
Total claims	54 - 20 =	34	x \$18.00	\$ 612.00
Independent claims	9 - 3 =	6	x \$80.00	\$ 480.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00	\$ 270.00

TOTAL OF ABOVE CALCULATIONS =

\$ 2,222.00

☒ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above
are reduced by 1/2.

+

\$ 1,111.00

SUBTOTAL =

\$ 1,111.00

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

TOTAL NATIONAL FEE =

\$ 1,111.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$

TOTAL FEES ENCLOSED =

\$ 1,111.00

Amount to be
refunded:

\$

charged:

\$

- a. ☒ A check in the amount of \$ 1,111.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 12-0064. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card
information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

MICHAEL BEST & FRIEDRICH LLC
401 N. Michigan Ave., Suite 1700
Chicago, IL 60611

SIGNATURE

Lisa C. Childs

NAME

39937

REGISTRATION NUMBER

IN THE
UNITED STATES PATENT & TRADEMARK OFFICE

09/890604

IN RE APPLICATION OF: ELLIS, et al.)
CASE: 205502-9004)
SERIAL NO.: NOT YET ASSIGNED)
FILED ON: HEREWITH)
FOR: Modification of Lignin)
Composition of Gymnosperms)

EXPRESS MAIL
CERTIFICATE OF
MAILING FOR:
U.S. National Phase
Application based on
PCT/CA00/00074 filed
January 31, 2000

ASSISTANT COMMISSIONER OF PATENTS
WASHINGTON, DC 20231

Dear Sirs:

☒ AUTHORIZATION TO PAY AND PETITION FOR THE ACCEPTANCE OF ANY NECESSARY FEES: If any charges or fees must be paid in connection with the following Communication (including but not limited to the payment of issue fees), they may be paid out of our deposit account No. 12-0064. If this payment also requires a Petition, please construe this authorization to pay as the necessary Petition which is required to accompany the payment.

☐ Applicant herewith petitions the Commissioner of Patents and Trademarks to extend the time for response to the Office Action dated _____ for _____ () month(s) from _____ to _____. Submitted herewith is check No. _____ which includes the cost of the extension. If a check is lost, or otherwise does not accompany this Petition, please charge my deposit account number 12-0064 in the appropriate amount to cover the cost of the extension. Any deficiency or overpayment should be charged or credited to the above numbered deposit account.

EXPRESS MAIL mailing label EL 874051514 US

Date of Deposit August 1, 2001

I hereby certify that the above listed papers or fees are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above, addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231. The person mailing these papers/fees is:

PRINT: David Bermejo

SIGNATURE David Bermejo

MICHAEL BEST & FRIEDRICH LLC
(Incorporating)
LAFF, WHITESEL & SARET LTD.)
401 North Michigan Avenue, Suite 1700
Chicago, Illinois 60611-4212
(312) 661-2100 Fax: (312) 661-0029

Attorney Docket No. 205002-9004
Serial No.: NOT YET ASSIGNED

Additional Sheet to PTO-1390 (Rev. 11-2000): Transmittal Letter to the United States
Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. 371

- ☒ PCT Request (41193-PT)
- ☒ Notification of the Recording of a Change (PCT/1B/306 (March 1994))
- ☒ Notification Concerning Submission or Transmittal of Priority Document (PCT/1B/304 (July 1998))
- ☒ Notification of Receipt of Demand by Competent International Preliminary Examining Authority(PCT/IPEA/402 (July 1998) P20452 (13/09/2000))
- ☒ Written Opinion (PCT/IPEA/402 (cover sheet) (January 1994))
- ☒ Reply to Written Opinion
- ☒ Notification of Transmittal of the International Search Report or the Declaration (PCT/ISA/220 (July 1998))
- ☒ Notification of the Transmittal of the International Preliminary Examination Report (PCT/IPEA/416 (July 1992))

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